



2164

PATENTS
Attorney Docket CF/019

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
PATENT APPLICATION

Applicants : Philip M. Ginsberg et al.
Application No.: 09/853,430
Confirm. No. : 6761
Filed : May 10, 2001
For : SYSTEMS AND METHODS FOR ANONYMOUS
ELECTRONIC TRADING
Group Art Unit : 2164

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Hon. Commissioner
for Patents
Washington, D.C. 20231

New York, New York
July 27, 2001

TRANSMITTAL LETTER FOR
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure
Statement in the above-identified application. This
Statement is submitted:

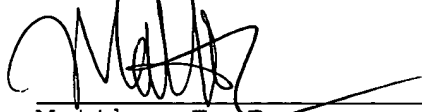
- ☒ [X] within three months of the application filing
date;
- ☐ [] more than three months from the application
filing date but before the mailing date of
the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of
this Statement requires no fee. However, if for any reason
a fee is due, the Director is hereby authorized to charge
payment of any fees required in connection with this

Information Disclosure Statement to Deposit Account

No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,



Matthew T. Byrne
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July 27, 2001

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Handwritten notes: 2/4, C. Hall, 10/23/01

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Philip M. Ginsberg et al.
Application No.: 09/853,430
Confirm. No. : 6471
Filed : May 10, 2001
For : SYSTEMS AND METHODS FOR ANONYMOUS
ELECTRONIC TRADING
Group Art Unit : 2169

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Hon. Commissioner
for Patents
Washington, D.C. 20231

New York, New York
July 27, 2001

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, applicants
hereby make the following documents of record in the above-
identified patent application:

US PATENTS

Togher et al.	5,375,055	(12/20/1994)
Togher et al.	6,014,627	(01/11/2000)
Shinn et al.	5,806,050	(09/08/1998)
Silverman et al.	5,136,501	(08/04/1992)
Silverman et al.	5,924,083	(07/13/1999)

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Foreign Patents

0 399 850 A2	EPO	(11/28/90)
0 407 026 A2	EPO	(01/09/91)
0 411 748 A2	EPO	(02/06/91)
0 512 702 A2	EPO	(11/11/92)

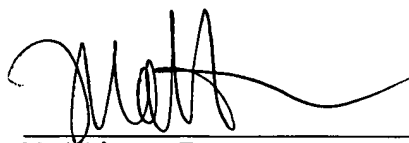
Copies of the aforementioned documents, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), are enclosed herewith.

It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent which may issue on this application.

Applicants request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

An early and favorable action is respectfully requested.

Respectfully submitted,



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Signature of Person Signing

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANTS	ATTY. DOCKET NO. CF/19	SERIAL NO. 09/853,430
	APPLICANTS Philip M. Ginsberg et al.	
	FILING DATE May 10, 2001	GROUP 2164

U.S. PATENT DOCUMENTS

INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	5,375,055	12/20/1994	Togher et al.	364	408	
	6,014,627	01/11/2000	Togher et al.	750	1	
	5,806,050	09/08/1998	Shinn et al.	705	37	
	5,136,501	08/04/1992	Silverman et al.	364	408	
	5,924,083	07/13/1999	Silverman et al.	705	37	

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FOREIGN PATENT DOCUMENTS

INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	0 399 850 A2	11/28/90	EPO	G06F	15/24		
	0 407 026 A2	1/9/91	EPO	G06F	15/24		
	0 411 748 A2	2/6/91	EPO	G06F	15/24		
	0 512 702 A2	11/11/92	EPO	G06F	15/21		

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

INITIAL	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.